Admin User Guide

Oracle FLEXCUBE Investor Servicing

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1. About This Manual

1.1 Introduction

Welcome to Oracle FLEXCUBE Investor Servicing™, a comprehensive mutual funds automation software from Oracle Financial Servicing Software Ltd. ©.

This Oracle FLEXCUBE Investor Servicing User Manual helps you use the system to achieve optimum automation of all your mutual fund investor servicing processes. It contains guidelines for specific tasks, descriptions of various features and processes in the system and general information.

1.2 Related Documents

The User Manual is organized in to various parts, each discussing a component of the Oracle FLEXCUBE Investor Servicing system.

1.3 Audience

This Fund Manager User Manual is intended for the Fund Administrator users and system operators in the AMC.

1.4 Organization

This volume of the Fund Manager User manual is organized under the following chapter sequence:

Chapter	Description
Chapter 1	*About This Manual* explains the structure, audience, organization, and related documents of this manual.
Chapter 2	*Admin* – explains Purge frequency maintenance, Purge processing, query builder.

1.5 Conventions Used in this Manual

Before you begin using this User Manual, it is important to understand the typographical conventions used in it.

1.5.1 General Conventions

Convention	Type of Information
Italics type	Functional /foreign terms Validations for fields on a screen References to related Headings/Users Manuals For emphasis
Numbered Bullet	Step by step procedures

1.5.2 Keyboard Conventions

Convention	Type of Information
Keys	All keys of the keyboard are represented in capital letters. For example, <CTRL>.
Shortcut keys	All short cut keys are contained in brackets. For example, <ALT+SHIFT>.

1.6 Glossary of Icons

This User Manual may refer to all or some of the following icons.

Icons	Function
	Exit
	Add Row
	Delete Row
	Option List

1.7 Abbreviations and Acronyms

The following acronyms and abbreviations are adhered to in this User Manual:

Abbreviation/ Acronym	Meaning
ADMIN	User Administrator
AGY	The Agency Branch component of the system
AMC	Asset Management Company
BOD	Beginning of Day
CDSC	Contingent Deferred Sales Charge
CGT	Capital Gains Tax

Abbreviation/ Acronym	Meaning
CIF	Customer Information File
EOD	End of Day
EPU	Earnings per unit
FC-IS	Oracle FLEXCUBE Investor Servicing
FMG	The Fund Manager component of the system
FPADMIN	Oracle FLEXCUBE Administrator
ID	Identification
IHPP	Inflation Hedged Pension Plan
IPO	Initial Public Offering
LEP	Life and Endowment Products
LOI	Letter of Intent
NAV	Net Asset Value
REG	The Registrar component of the system
ROA	Rights of Accumulation
ROI	Return on Investment
SI	Standing Instructions
SMS	Security Management System
URL	Uniform Resource Locator
VAT	Value Added Tax
WAUC	Weighted Average Unit Cost

1.8 Getting Help

Online help is available for all tasks. You can get help for any function by clicking the help icon provided or by pressing F1.

2. Administration

The Fund Manager component is equipped to manage administrative activities, which include the purging of data, maintenance of extraction information for extraction of data from the FIC application. This chapter explains these functions.

This chapter also explains the Query Builder, which can be used to construct user defined query statements to obtain information from the database.

This chapter contains the following sections:

- Section 2.1, "Purge Frequency Maintenance"
- Section 2.2, "Purge Frequency Summary Screen"
- Section 2.3, "Copying Parameterization Data"

2.1 Purge Frequency Maintenance

This section contains the following topics:

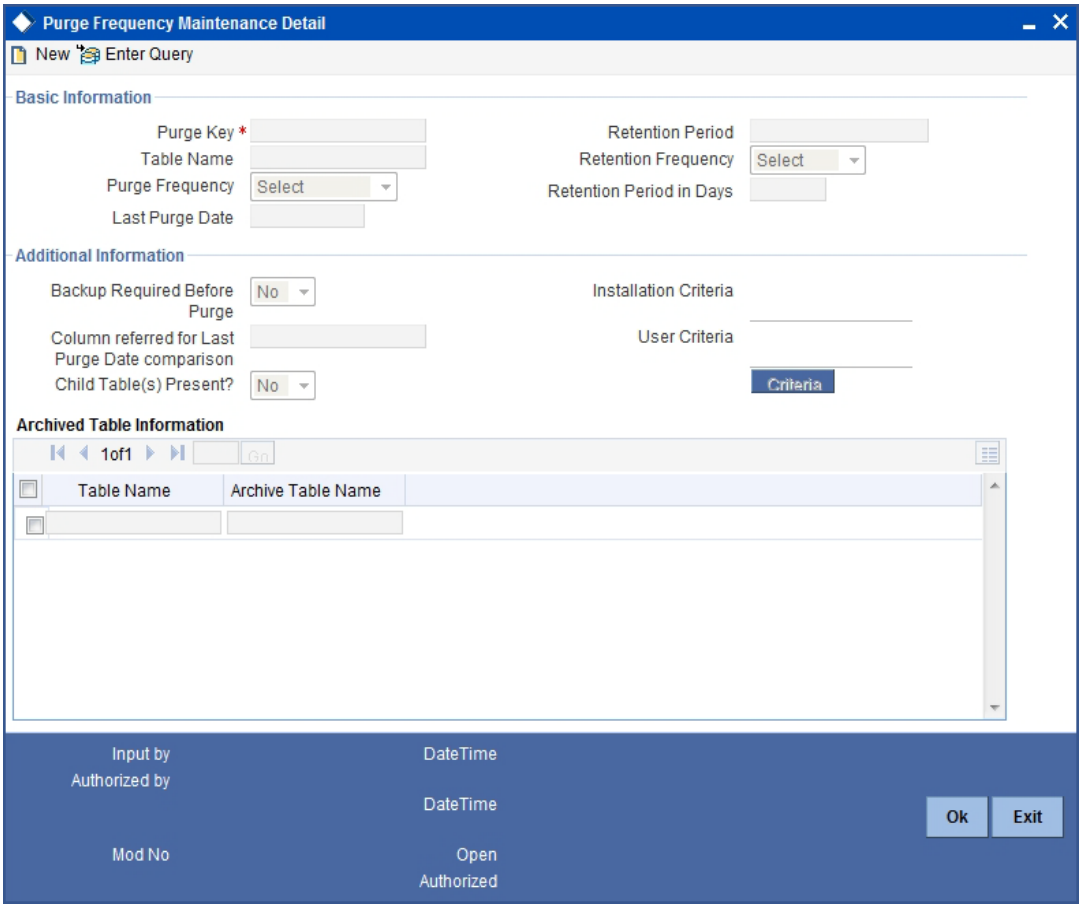
- Section 2.1.1, "Invoking Purge Frequency Maintenance Detail Screen"

2.1.1 Invoking Purge Frequency Maintenance Detail Screen

You can use this screen to maintain the frequency of purging for the tables in the system. According to the frequency specified here, the tables are purged during the End of Day processes.

Invoke the ‘Purge Frequency Maintenance Detail’ screen by typing ‘UTDPURGS’ in the field at the top right corner of the Application tool bar and clicking on the adjoining arrow button.

The ‘Purge Frequency Maintenance Detail’ screen is displayed. Select ‘New’ from the Actions menu in the Application tool bar or click new icon to enter the details.



Basic Information Section

Purge Key

Purge key is the purge name that you need to maintain.

Table Name

Display Only

The name of the table for which a purge frequency must be set up is displayed here.

Purge Frequency

Alphanumeric, Mandatory

Specify the frequency at which the selected table must be purged as part of the End of Day processes. You can use the drop-down list to make your choice. Following are the options available in the drop-down list:

- Daily
- Weekly
- Bi-Weekly
- Monthly
- Quarterly
- Half Yearly
- Yearly

- Not Scheduled

If purge frequency is maintained as not scheduled, the system will ignore this purge activity from execution during EOD.

Last Purge Date

Display Only

The most recent date on which the purge was performed is displayed in this field.

Retention Period

Display Only

The system will compute retention period in days based on retention period and frequency maintained.

Retention Frequency

Select the retention frequency from the drop-down. Following are the options available in the drop-down list:

- Daily
- Weekly
- Bi-Weekly
- Monthly
- Quarterly
- Half Yearly
- Yearly

Retention Period in Days

Display

The system will calculate the days based on the Retention Period Value and Frequency, system will calculate the days and is displayed here. For instance, If Retention Period is 1, and Retention Frequency is selected as weekly then 7 will be displayed in this field (1*7days in a week=7)

Additional Information Section

Archive Required?

Select ‘Yes’ if you want backup to be taken before purge. Else select ‘No’.

If you select ‘Yes’, the system will copy the existing data into corresponding purge tables specified in the grid.

Note

Actual Table and corresponding purge table should be in same number of columns and order of columns. If there is mismatch, dynamic procedure creation will fail and maintenance cannot be authorized.

If you select ‘No’, the system will delete the data from the table.

Column referred for Retention

Displays the Column in the table which will be referred before processing purge. If purge is already processed, then process will start from the last purge date.

Installation Criteria

Enter the installation criteria based on which the purge will be maintained.

If any new purge activity is maintained, the same can be provided during first time maintenance only. Subsequent amendment of this value is restricted.

User defined Criteria

You can amend the purge details before process and enter the user defined criteria.

User defined Criteria is an additional criteria which will be appended to installation criteria to filter parent table data to be archived.

Dynamic Procedure Creation Related

Dynamic Procedure Name

Specify the name of the dynamic procedure to be created.

The system will create dynamic procedure during authorization. The system will validate the parameters provided for purging. If the specified procedure name already exists, then the system displays an override message.

Authorization will fail if dynamic procedure cannot be created without errors.

Pre Purge Procedure Related

You can execute a pre-defined procedure before the purging activity. Following are the options available:

- Yes
- No

If you select ‘Yes’, then the system will capture Pre Purge Procedure Name.

If you select ‘No’, then Pre Purge Procedure Name is not required.

Commit Counter

Specify commit frequency for archival/purging activity. If maintained, it should be greater than zero. If you do not provide commit frequency, then the system will consider static maintenance available. In the absence of static data, system will default 10000 as commit counter.

Archived Table Information

Table Name

Specify the archived table name.

Archived Table Name

The archived table name will be displayed.

The system performs the following validations for Purge Order:

- Purge Order defines the order in which the tables needs to be purged.
- Purge order for Master table should be 0.
- If master table is not provided in the grid, the system will use master table only for identifying the data for purge; during purge process the system will purge only the tables provided in the grid.

- If no table information are provided in the grid, the system will delete the parent table data based on the criteria provided. If no criteria is provided, then the system will truncate the table.
- Purge order of child tables should be greater than 0.
- Purging of master table will be done after purging of all the child tables (if master table is provided in the grid).
- Primary Key Column Name and Parent Primary Key Column Name. Column names of master and child tables to be provided here.
- Details of child table to be provided in Primary Key Column Name and details of master table to be provided in Parent Primary Key Column Name
- Data is mandatory for all child tables

Note

The dynamic packages will get recreated on unlock, save and authorisation.

2.2 Purge Frequency Summary Screen

This section contains the following topics:

- Section 2.2.1, "Retrieving Record in Purge Frequency Summary Screen"
- Section 2.2.2, "Editing Purge Frequency Maintenance"
- Section 2.2.3, "Viewing Purge Frequency Maintenance record"
- Section 2.2.4, "Deleting Purge Frequency Maintenance record"
- Section 2.2.5, "Authorizing Purge Frequency Maintenance "
- Section 2.2.6, "Amending Purge Frequency Maintenance"
- Section 2.2.7, "Authorizing Amended Purge Frequency Maintenance"
- Section 2.2.8, "Copying Attributes"

2.2.1 Retrieving Record in Purge Frequency Summary Screen

You can retrieve a previously entered record in the Summary Screen, as follows:

Invoke the ‘Purge Frequency Maintenance Summary’ screen by typing ‘UTSPURGS’ in the field at the top right corner of the Application tool bar and clicking on the adjoining arrow button. Specify any or all of the following details in the corresponding fields:

- The status of the record in the Authorized field. If you choose the ‘Blank Space’ option, then all the records are retrieved.
- The status of the record in the Open field. If you choose the ‘Blank Space’ option, then all records are retrieved
- The Purge Key
- The Purge Frequency
- The Last Purge Date
- Archive Required
- Dynamic Procedure Name

Click ‘Search’ button to view the records. All the records with the specified details are retrieved and displayed in the lower portion of the screen.

Note

You can also retrieve the individual record detail from the detail screen by querying in the following manner:

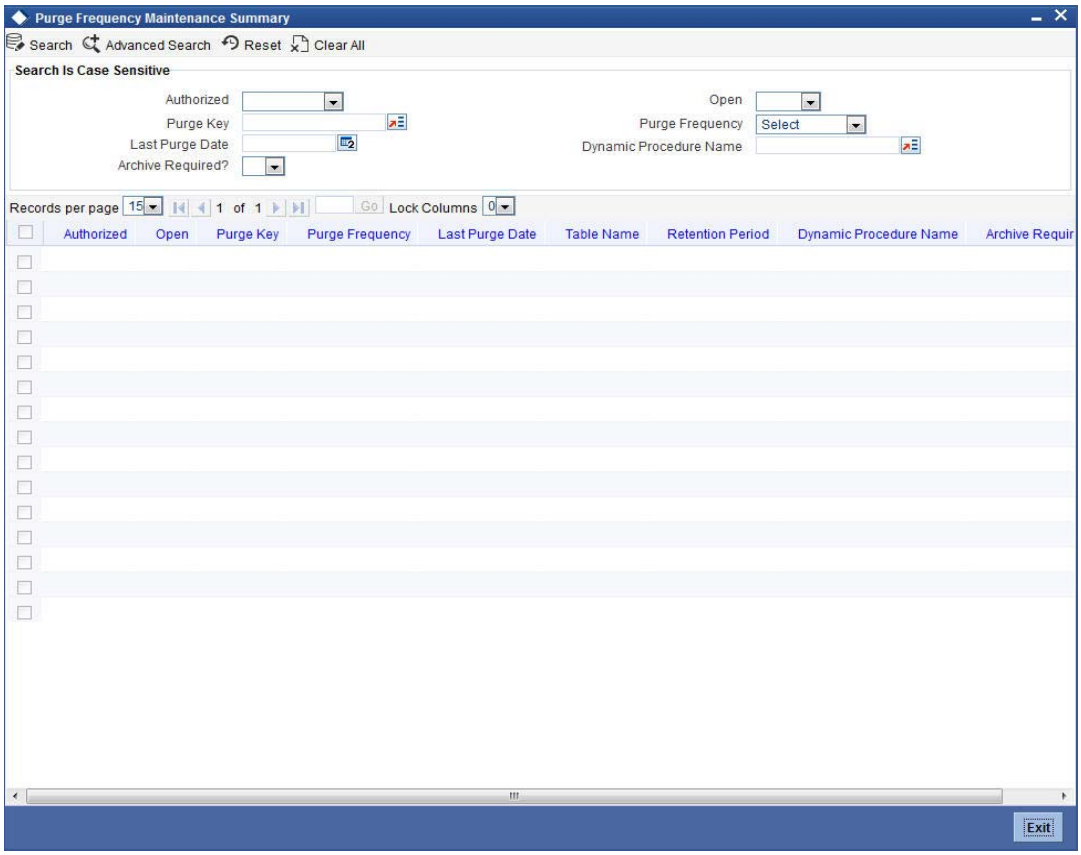
- Press F7
- Input the Purge Key.
- Press F8

You can perform Edit, Delete, Amend, Authorize, Reverse, Confirm operations by selecting the operation from the Action list. You can also search a record by using a combination of % and alphanumeric value.

Example

You can search the record for Purge Key by using the combination of % and alphanumeric value as follows:-

- Search by A%: System will fetch all the records whose Purge Key starts from Alphabet ‘A’. For example, AGC17, AGVO6, AGC74 etc.
- Search by %7: System will fetch all the records whose Purge Key ends by numeric value’ 7’. For example AGC17, GSD267, AGC77 etc.
- Search by %17%:- System will fetch all the records whose Purge Key contains the numeric value 17. For example, GSD217, GSD172, AGC17 etc.



2.2.2 Editing Purge Frequency Maintenance

You can modify the details of Purge Frequency Maintenance that you have already entered into the system, provided it has not subsequently authorized. You can perform this operation as follows:

- Invoke the Purge Frequency Summary screen from the Browser.
- Select the status of the record that you want to retrieve for modification in the Authorized field. You can only modify records that are unauthorized. Accordingly, choose the unauthorized option.
- Specify any or all of the details in the corresponding fields to retrieve the record that is to be modified.
- Click 'Search' button. All unauthorized records with the specified details are retrieved and displayed in the lower portion of the screen.
- Double click the record that you want to modify in the list of displayed records. The Purge Frequency Maintenance Detail screen is displayed.
- Select Unlock Operation from the Action list to modify the record. Modify the necessary information.
- Click Save to save your changes. The Purge Frequency Maintenance Detail screen is closed and the changes made are reflected in the Purge Frequency Summary screen.

2.2.3 Viewing Purge Frequency Maintenance record

To view a record that you have previously input, you must retrieve the same in the Purge Frequency Summary screen as follows:

- Invoke the Purge Frequency Summary screen from the Browser.
- Select the status of the record that you want to retrieve for viewing in the Authorized field. You can also view all records that are either unauthorized or authorized only, by choosing the Unauthorized/Authorized option.
- Specify any or all of the details of the record in the corresponding fields on the screen and click 'Search' button. All records with the specified fields are retrieved and displayed in the lower portion of the screen.
- Double click the record that you want to view in the list of displayed records. The Purge Frequency Maintenance Detail screen is displayed in View mode.

2.2.4 Deleting Purge Frequency Maintenance record

You can delete only unauthorized records in the system. To delete a record that you have previously entered:

- Invoke the Purge Frequency Summary screen from the Browser.
- Select the status of the record that you want to retrieve for deletion.
- Specify any or all of the details and click 'Search' button. All records with the specified fields are retrieved and displayed in the lower portion of the screen.
- Double click the record that you want to delete in the list of displayed records. The Purge Frequency Maintenance Detail screen is displayed.
- Select Delete Operation from the Action list. The system prompts you to confirm the deletion and the record is physically deleted from the system database.

2.2.5 Authorizing Purge Frequency Maintenance

An unauthorized Purge Frequency must be authorized in the system for it to be processed. To authorize a record:

- Invoke the Purge Frequency Summary screen from the Browser.
- Select the status of the record that you want to retrieve for authorization. Typically, choose the unauthorized option.
- Specify any or all of the details and click ‘Search’ button. All records with the specified details that are pending authorization are retrieved and displayed in the lower portion of the screen.
- Double click the record that you wish to authorize. The Purge Frequency Maintenance Detail screen is displayed. Select Authorize operation from the Action List.

When a checker authorizes a record, details of validation, if any, that were overridden by the maker of the record during the Save operation are displayed. If any of these overrides results in an error, the checker must reject the record.

2.2.6 Amending Purge Frequency Maintenance

After a Purge Frequency Maintenance is authorized, it can be modified using the Unlock operation from the Action List. To make changes to a record after authorization:

- Invoke the Purge Frequency Summary screen from the Browser.
- Select the status of the record that you want to retrieve for authorization. You can only amend authorized records.
- Specify any or all of the details and click ‘Search’ button. All records with the specified details that are pending authorization are retrieved and displayed in the lower portion of the screen.
- Double click the record that you wish to authorize. The Purge Frequency Maintenance Detail screen is displayed in amendment mode. Select Unlock operation from the Action List to amend the record.
- Amend the necessary information and click on Save to save the changes.

2.2.7 Authorizing Amended Purge Frequency Maintenance

An amended Purge Frequency Maintenance must be authorized for the amendment to be made effective in the system. The authorization of amended records can be done only from Fund Manager Module and Agency Branch module.

The process of subsequent authorization is the same as that for normal transactions.

2.2.8 Copying Attributes

If you want to create a new Purge Frequency Maintenance with the same attributes of an existing maintenance, you can copy the attributes of an existing Purge Frequency Maintenance to a new one.

To copy the attributes:

- Retrieve the record whose attributes the new Purge Frequency should inherit. You can retrieve the record through the Summary screen or through the F7-F8 operation explained in the previous sections of this chapter.
- Click on Copy.
- Indicate the ID for the new Purge Frequency Maintenance. You can, however, change the details of the new maintenance.

2.3 Copying Parameterization Data

This section contains the following topics:

- Section 2.3.1, "Copying Parameterization Data"

2.3.1 Copying Parameterization Data

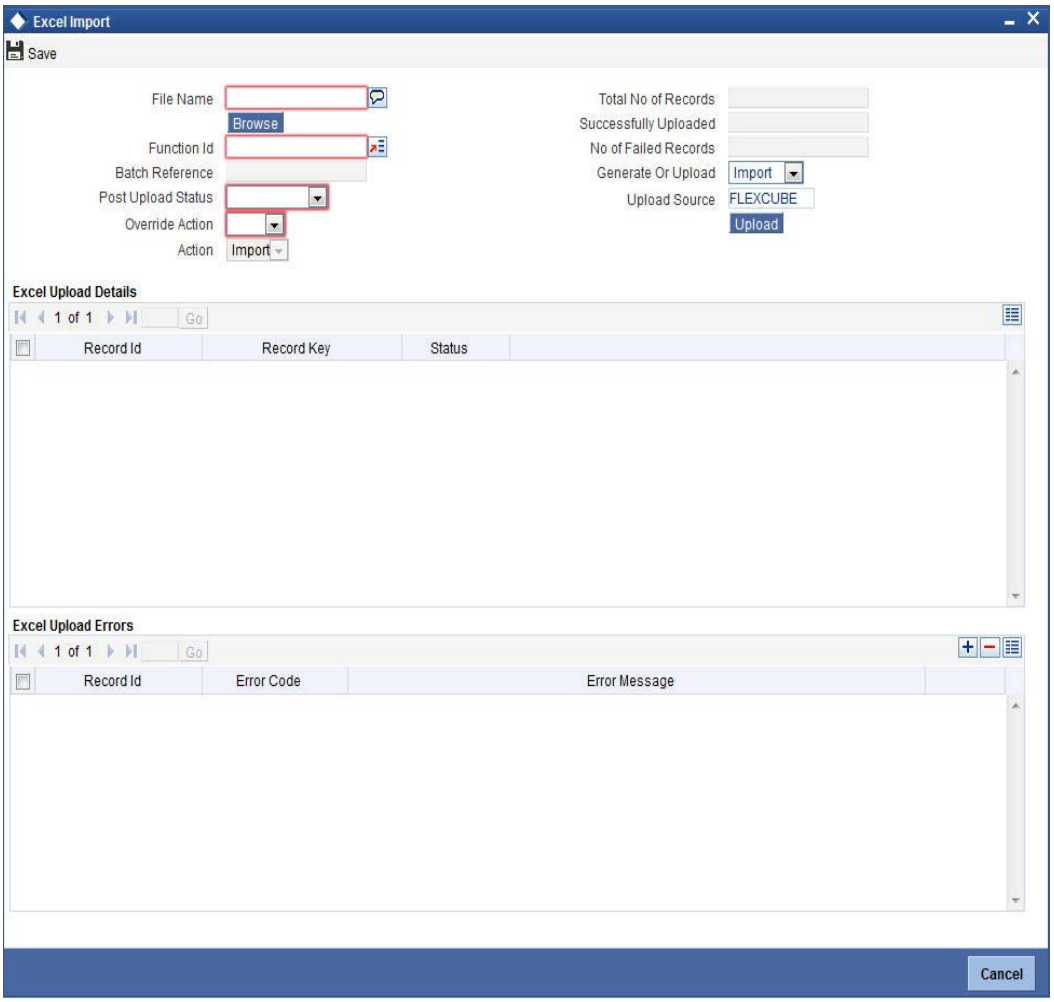
You can copy parameterization data from Oracle FLEXCUBE Investor Servicing environment to any other environment and vice versa. The data from Oracle FLEXCUBE Investor Servicing can be exported into an excel sheet or an XML format.

If 'Excel Export Required' option is checked for a function id in the 'Function Description Maintenance' screen then an 'Export' button is enabled in the summary screen of that function id. In the Summary screen you can query records based on the query parameters available and then select the required records to be exported and click 'Export' button. On clicking 'Export' button, system would export the data into an excel sheet and opens the excel sheet with data populated. You can then save the excel sheet.

Note

The records can be exported either in .XLS or .XLSX format. The format of the export file must be maintained in 'CSTB_PARAM' against the parameter 'EXCEL_FORMAT'.

You can also import data into Oracle FLEXCUBE Investor Servicing environment using the 'Excel Import' screen. You can invoke this screen by typing the function id 'CSDXLUPD' in the field at the top right corner of the Application tool bar and clicking on the adjoining arrow button.



The following details are captured here:

File Name

Select the excel file to be imported by clicking ‘Browse’ button.

Total No of Records

The total number of records to be uploaded is displayed here.

Function Identification

The function id mentioned in the excel file chosen is displayed here.

Batch Reference

The unique reference number generated for an upload is displayed here.

Post Upload Status

Select the status to be set for the file post upload, from the drop-down list. The following statuses are available in the drop-down list:

- Authorized
- Unauthorized
- Hold

Override Action

Select the action to be taken if an override message is encountered, from the drop-down list. The following options are available:

- Ignore
- Error

Action

The action is displayed here.

No of failed records

The total number of records which failed to get uploaded is displayed here.

Generate or Upload

Select the action to be taken for importing the file, from the drop-down list. The following options are available for selection:

- Generate – Select this option if an XML has to be generated from the imported file. This will be stored in the path maintained in CSBT_PARAM parameter EXCEL_IMPORT_XML_SPOOL_AREA
- Upload – Select this option if the data has to be uploaded as an excel file itself.

Note

To start the upload process click ‘Upload’ button. Once you click this button system starts importing the data from the excel file.

Source

Specify the source code of the file to be used for generating the XML file. You need to specify the source if you have chosen ‘Generate’ option in the ‘Generate or Upload’ field.

Excel File Upload Details

The following details are captured here:

Record Id

The unique number of the record uploaded is displayed here.

Record Key

The record key is displayed here.

Status

The upload status of the record is displayed here.

Excel Upload Errors

Record Id

The unique number of the record, which encountered error while uploading, is displayed here.

Error Code

The error code corresponding to the error encountered during upload is displayed here.

Error Message

The error message corresponding to the error code displayed is defaulted here.

3. Function ID Glossary

C

CSDXLUPD 2-9

U

UTDPURGS 2-1
UTSPURGS 2-5